

Practitioner's Docket No. 700157-48457

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Wyatt et al.

Application No.: 09/446,799

Group No.: 1648

Filed: May 1, 2001

Examiner: LI, Bao Q.

For: GLYCOSYLATED MODIFIED PRIMATE LENTIVIRUS ENVELOPE POLYPEPTIDES

MAIL STOP ISSUE FEE

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

NOTIFICATION OF CHANGE OF ENTITY STATUS

(37 C.F.R. 1.27(c)(1))

Applicants are changing their entity status to small entity as shown by the attached Assertion of Small Entity Status.

This assertion is being made by the undersigned attorney/agent of record.

Date: November 24, 2004

Ronald I. Eisenstein (30,628)
Nicole L.M. Valtz (47,150)
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Boston, MA 02110
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CERTIFICATION UNDER 37 C.F.R. " 1.8(a) and 1.10*

(When using Express Mail, the Express Mail label number is *mandatory*;

Express Mail certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

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37 C.F.R. § 1.8(a)

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37 C.F.R. § 1.10*

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____ facsimile transmitted to the Patent and Trademark Office, (703) _____

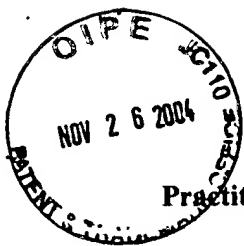
Signature

Linda M. Ginsberg

(type or print name of person certifying)

Date: November 24, 2004

* Only the date of filing (" 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under " 1.8 continues to be taken into account in determining timeliness. See " 1.703(f). Consider "Express Mail Post Office to Addressee" (" 1.10) or facsimile transmission (" 1.6(d)) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations.



Practitioner's Docket No. 700157-48457

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Richard T. Wyatt, Joseph G. Sodroski, Peter D. Kwong, and Wayne A. Hendrickson

Application No.: 09/446,799
Filed on: May 1, 2001
Title: GLYCOSYLATED MODIFIED PRIMATE LENTIVIRUS ENVELOPE POLYPEPTIDES

**STATEMENT OF STATUS AS SMALL ENTITY
(37 C.F.R. § 1.27(a)(3))—NONPROFIT ORGANIZATION**

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Nonprofit Organization: The Trustees of Columbia University
Address of Nonprofit Organization: West 116th Street and Broadway
New York, NY 10027
US

TYPE OF NONPROFIT ORGANIZATION

- ☒ University or other Institution of Higher Education
☐ Tax Exempt Under Internal Revenue Service Code (26 USC 501(a) and 501(c)(3))
☐ Nonprofit Scientific or Education Under Statute of State of the United States of America
(Name of State _____)
(Citation of Statute _____)
☐ Would Qualify as Tax Exempt Under Internal Revenue Service Code (26 USC 501(a) and 501(c)(3)), if Located in the United States of America
☐ Would Qualify as Nonprofit Scientific or Educational Under Statute of State of the United States of America if Located in the United States of America
(Name of State _____)
(Citation of Statute _____)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization, as defined in 37 C.F.R. § 1.27(a)(3), for purposes of paying reduced fees to the United States Patent and Trademark Office under Sections 41(a) and (b) of Title 35, United States Code, with regard to the invention described in the application identified above.

I hereby state that rights under contract or law have been conveyed to, and remain with, the nonprofit organization, with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who would not qualify as a person under 37 C.F.R. § 1.27(a)(1), if that person made the invention, or by any concern that would not qualify as a small business concern under 37 C.F.R. § 1.27(a)(2), or a nonprofit organization under 37 C.F.R. § 1.27(a)(3)

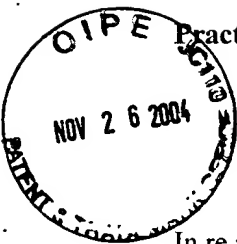
Each such person, concern or organization is listed below:

FULL NAME Dana-Farber Cancer Institute
ADDRESS 44 Binney Street
Boston, MA 02115
US
NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.27(g)(2))

Name of Person Signing SCOT G. HAMILTON
Title in Organization SENIOR DIRECTOR
Address of Person Signing SCIENCE & TECHNOLOGY VENTURES
560 W. 120th St.
363 Engineering Terrace, MC. 2206
New York New York 10027

SIGNATURE *Scot G. Hamilton* Date November 15, 2008



Practitioner's Docket No. 48457

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: R. Wyatt, et al.
Serial No.:
Filed on: December 22, 1999
Title: GLYCOSYLATED MODIFIED PRIMATE LENTIVIRUS ENVELOPE
POLYPEPTIDES

Sir:

STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(e) and 1.27(b))--NONPROFIT ORGANIZATION

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Nonprofit Organization Dana-Farber Cancer Institute, Inc.
Address of Nonprofit Organization 44 Binney Street, Boston, Massachusetts 02115

TYPE OF NONPROFIT ORGANIZATION

- ☐ University or Other Institution of Higher Education
☒ Tax Exempt Under Internal Revenue Service Code (26 USC 501(a) and 501 (c)(3))
☐ Nonprofit Scientific or Educational Under Statute of State of the United States of America
(Name of State _____)
(Citation of Statute _____)
☐ Would Qualify as Tax Exempt Under Internal Revenue Service Code (26 USC 501(a) and 501(c)(3)), if Located in the United States of America
☐ Would Qualify as Nonprofit Scientific or Educational Under Statute of State of the United States of America if Located in the United States of America
(Name of State _____)
(Citation of Statute _____)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization, as defined in 37 CFR 1.9(e), for purposes of paying reduced fees to the United States Patent and Trademark Office under Sections 41(a) and (b) of Title 35, United States Code, with regard to the invention described in

- ☐ the specification filed herewith, with title as listed above.
☒ the application identified above.
☐ the patent identified above.

I hereby state that rights under contract or law have been conveyed to, and remain with, the nonprofit organization, with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 C.F.R. 1.9(c), if that person made the invention, or by any concern that would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e)

**NOTE: Separate statements are required from each named person, concern or organization having rights to the invention as to their status as small entities. (37 CFR 1.27).*

Each such person, concern or organization having any rights in the invention is listed below:

☐ No such person, concern, or organization exists.

☒ Each such person, concern or organization is listed below.

FULL NAME The Trustees of Columbia University
ADDRESS West 116th Street & Broadway
New York, New York 10027
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☒ NONPROFIT ORGANIZATION

FULL NAME Wayne A. Hendrickson
ADDRESS 161 Mt. Hope Boulevard; Hastings-on-Hudson, New York 10706
☒ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

(check the following item, if desired)

NOTE: The following verification statement need not be made in accordance with the rules published on October 10, 1997, 62 Fed. Reg. 52131, effective December 1, 1997.

NOTE: "The presentation to the Office (whether by signing, filing, submitting, or later advocating) of any paper by a party, whether a practitioner or non-practitioner, constitutes a certification under § 10.18(b) of this chapter. Violations of § 10.18(b)(2) of this chapter by a party, whether a practitioner or non-practitioner, may result in the imposition of sanctions under § 10.18(c) of this chapter. Any practitioner violating § 10.18(b) may also be subject to disciplinary action. See §§ 10.18(d) and 10.23(c)(15)." 37 CFR 1.4(d)(2).

[X] I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing	<u>Pamela D. Ariniello</u>
Title in Organization	<u>Patent Counsel</u>
Address of Person Signing	<u>Dana-Farber Cancer Institute, Inc.</u>
	<u>44 Binney Street, Boston, MA 02115</u>

SIGNATURE  Date February 10, 2000